

10/16/01

11-27-01

A

UTILITY
PATENT APPLICATION TRANSMITTAL
(Only for new nonprovisional
applications under
37 CFR 1.53(b))

Attorney Docket No.	HAU199 CON
First Inventor	David T. Bailey
Title	High Purity Beta-Carotene and Process for Obtaining Same
Express Mail Label No.	EL791520170US

10/17 U.S. PTO
10/001880

11/16/01

APPLICATION ELEMENTS

Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

1. Fee Transmittal Form
(submit an original and a duplicate for fee processing)

2. Applicant claims small entity status.
See 37 CFR 1.27

3. Specification total pages: 23
(preferred Arrangement set forth below)

- Descriptive title of the Invention
- Cross References to Related Applications
- Statement Regarding Fed sponsored R&D
- Reference to sequence listing, a table, or a computer program listing appendix
- Background of the Invention
- Brief Summary of the Invention
- Brief Description of the Drawings
- Detailed Description
- Claim(s)
- Abstract of the Disclosure

4. Drawing(s) [total sheets: 4]

5. Oath or Declaration total sheets: 2]

a. Newly executed (original or copy)

b. Copy from prior appl. (37 C.F.R. § 1.63(d))

- i. DELETION OF INVENTOR(S)
Signed statement attached deleting inventor(s) named in prior application, see 37 C.F.R. §§ 1.63(d)(2) and 1.33(b).

6. Application Data Sheet. (See 37 CFR 1.76)

7. CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)

8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)

- a. Computer Readable Form
- b. Specification Sequence Listing on:
 - i. CD-ROM or CD-R (2 copies); or
 - ii. paper
- c. Statements verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

9. Assignment Papers (coversheet/document(s))

10. 37 CFR. 3.73(b) Statement Power of (when there is an assignee) Attorney

11. English Translation

12. Document Copies of

13. IDS & Form 1449 IDS Citations

Preliminary Amendment

14. Return Receipt Postcard (MPEP 503)

15. Certified Copy of Priority Document(s)

16. Request & Certification under 35 USC 122(b)(2)(B)(i)

17. Other: Certificate of Express Mailing

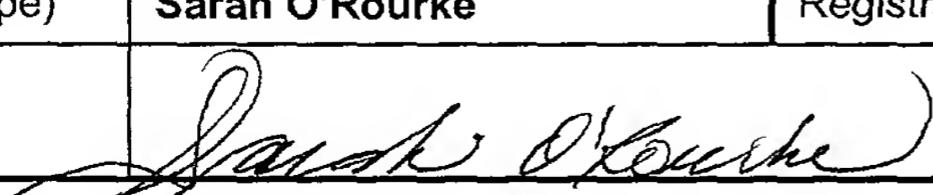
18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

Continuation Divisional Continuation-in-part (CIP) of prior application No.: 08/864,103

Prior application information: Examiner: W. Griffin Group/Art Unit: 1764

FOR CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

19. CORRESPONDENCE ADDRESS

<input type="checkbox"/> Customer Number or Bar Code Label	or <input checked="" type="checkbox"/> Correspondence address below				
Name	Steven C. Petersen				
	Hogan & Hartson, LLP				
Address	1200 17 th Street				
	Suite 1500				
City	Denver	State	CO	ZIP	80202
Country	US	Telephone	(720) 406-5315	Fax	(720) 406-5301
Name (Print/Type)	Sarah O'Rourke		Registration No.	41,226	
(Signature)			Date	Nov. 14, 2001	



FEE TRANSMITTAL for FY 2002

TOTAL AMOUNT OF PAYMENT (\$) **(\$920.00)**

Complete if Known	
Application Number	
Filing Date	
First Named Inventor	David Bailey
Examiner Name	
Group / Art Unit	
Attorney Docket No.	HAU199 CON

METHOD OF PAYMENT (check one)

1. The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:

Deposit Account Number **50-1123**

Deposit Account Name **Hogan & Hartson L.L.P.**

Charge Any Additional Fee Required Under 37 CFR § 1.16 and 1.17
 Applicant claims small entity status.
 See 37 CFR 1.27

2. Payment Enclosed:

Check Money Order Other

FEE CALCULATION

1. BASIC FILING FEE

Large Entity Fee (\$)	Small Entity Fee (\$)	Fee Description	Fee Paid
710	370	Utility Filing Fee	370.00
320	160	Design filing fee	
490	245	Plant filing fee	
710	355	Reissue filing fee	
150	75	Provisional filing fee	

SUBTOTAL (1) (\$370.00)

2. EXTRA CLAIM FEES

Total Claims	52	Extra Claims	32	Fee from below	9	=	288
Independent Claims	9	-20**=	32	X	42	=	252
Multiple Dependent		-3**=	6	X		=	0

**or number previously paid, if greater, For Reissues, see below

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description
103	18	203 9 Claims in excess of 20
102	80	202 40 Independent claims in excess of 3
104	270	204 135 Multiple dependent claim, if not paid
109	80	209 40 **Reissue independent claims over original patent
110	18	210 9 **Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$540)

3. ADDITIONAL FEES	Large Entity Fee (\$)	Small Entity Fee (\$)	Fee Description	Fee Paid
	130	65	Surcharge – late filing fee or oath	
	50	25	Surcharge – late provisional filing fee or cover sheet	
	130	130	Non-English specification	
	2,520	2,520	For filing a request for ex parte reexamination	
	920*	920*	Requesting publication of SIR prior to Examiner action	
	1,840*	1,840*	Requesting publication of SIR after Examiner action	
	110	55	Extension for reply within first month	
	390	195	Extension for reply within second month	
	890	445	Extension for reply within third month	
	1,390	695	Extension for reply within fourth month	
	1,890	945	Extension for reply within fifth month	
	310	155	Notice of Appeal	
	310	155	Filing a brief in support of an appeal	
	270	135	Request for oral hearing	
	1,510	1,510	Petition to institute a public use proceeding	
	110	55	Petition to revive – unavoidable	
	1,240	620	Petition to revive – unintentional	
	1,240	620	Utility issue fee (or reissue)	
	440	220	Design issue fee	
	600	300	Plant issue fee	
	130	130	Petitions to the Commissioner	
	50	50	Processing fee under 37 CFR 1.17(q)	
	180	180	Submission of Information Disclosure Stmt	
	40	40	Recording each patent assignment per property (times number of properties)	
	710	355	Filing a submission after final rejection (37 CFR § 1.129(a))	
	710	355	For each additional invention to be examined (37 CFR § 1.129(b))	
	710	355	Request for Continued Examination	
	900	900	Request for expedited examination of a design application	
	Other fee (specify)			
	*Reduced by Basic Filing Fee Paid			
	SUBTOTAL (3) (\$)			

SUBMITTED BY	Complete (if applicable)	Registration No. (Attorney/Agent)	Telephone
Name (Print/Type)	Sarah O'Rourke	41,226	(720) 406-5385
Signature	<i>Sarah O'Rourke</i>		Date Nov 16, 2001

Repl. Ref: 12/07/2001 EMAILE1 0022321600
 DOA:501123 Name/Number:10001880
 FC: 704 **\$10.00 CR**

Registered Mail
Attorney Docket No. HAU199 CON
Client/Matter No. 81250.0040.001

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

David Bailey, *et al.*

Serial No.: Not Yet Accorded

Filing date: Not Yet Accorded

For: High Purity Beta-Carotene and Process for
Obtaining Same

Group Art Unit: Not Yet Accorded

Examiner: Not Yet Accorded

CERTIFICATE OF MAILING BY EXPRESS MAIL

Box PATENT APPLICATION
Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

The undersigned hereby certifies that the following documents:

1. Utility Patent Application Transmittal Form;
2. Specification (23 pages);
3. Drawings (4 pages);
4. Copies of Declarations from U.S. Serial No. 08/864,103;
5. Fee Transmittal Form (in duplicate);
6. Check in the amount of \$920;
7. Certificate of Mailing by Express mail; and
8. Return postcard

*Receipt date granted
is 11/16/01.
J. Chang
from PLA*

relating to the above application, were deposited as "Express Mail", Mailing Label No. EL791520170US, with the United States Postal Service, addressed to Box PATENT APPLICATION, The Assistant Commissioner for Patents, Washington, D.C., 20231. The above listed documents were presented to the U.S. Postal Service on November 16, 2001, and accepted on same date. On November 19, 2001, the above documents in the original Express envelope were returned with a statement of "Temporary Suspension (Express Mail) due to Heightened Security".

The undersigned hereby certifies that the enclosed, unopened, postmarked Express Mail Envelope contains the documents listed above, and is being deposited as "Registered Mail", with the United States Postal Service, addressed to Box FILING DATE, The Assistant Commissioner for Patents, 2900 Crystal Drive, Arlington, VA 22202-3513 on November 19, 2001.

All statements made therein of the party's own knowledge are true, all statements made therein on information and belief are believed to be true, and all statements made therein are made with the knowledge that whoever, in any matter within the jurisdiction of the Patent and Trademark Office, knowingly and willfully falsifies, conceals, or covers up by any trick, scheme, or device a material fact, or makes any false, fictitious or fraudulent statements or representations, or makes or uses any false writing or document knowing the same to contain any false, fictitious or fraudulent statement or entry, shall be subject

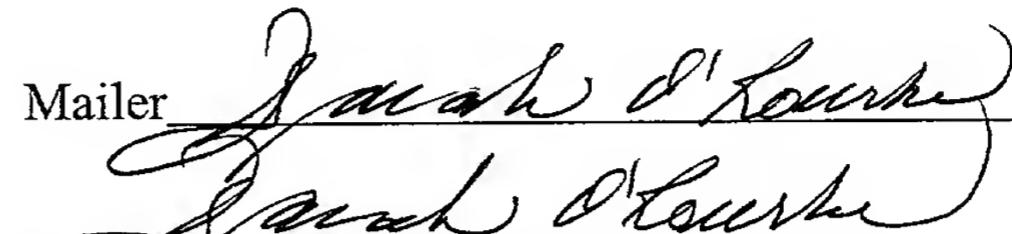
to the penalties set forth under 18 U.S.C. 1001, and that violations of this paragraph may jeopardize the validity of the application or document, or the validity or enforceability of any patent, trademark registration, or certificate resulting therefrom.

Date November 19, 2001

November 19, 2001

Date

Mailer


Sarah O'Rourke, Reg. No. 41,226
HOGAN & HARTSON LLP
1200 17th Street, Suite 1500
Denver, Colorado 80202
(720) 406-5385 Tel
(720) 406-5301 Fax

EXPRESS MAIL NO. EL791520170US
Attorney Docket No. HAU199 CON
Client/Matter No. 81250.0040.001

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

David Bailey, *et al.*

Serial No.: Not Yet Accorded

Filing date: Not Yet Accorded

For: High Purity Beta-Carotene and Process for
Obtaining Same

Group Art Unit: Not Yet Accorded

Examiner: Not Yet Accorded

CERTIFICATE OF MAILING BY EXPRESS MAIL

Box PATENT APPLICATION
Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

The undersigned hereby certifies that the following documents:

1. Utility Patent Application Transmittal Form;
2. Specification (23 pages);
3. Drawings (4 pages);
4. Copies of Declarations from U.S. Serial No. 08/864,103;
5. Fee Transmittal Form (in duplicate);
6. Check in the amount of \$920;
7. Certificate of Mailing by Express mail; and
8. Return postcard

relating to the above application, were deposited as "Express Mail", Mailing Label No. EL791520170US, with the United States Postal Service, addressed to Box PATENT APPLICATION, The Assistant Commissioner for Patents, Washington, D.C., 20231.

November 16, 2001

Date

Sarah O'Rourke

Mailer

November 16, 2001

Date

Sarah O'Rourke

Sarah O'Rourke, Reg. No. 41,226
HOGAN & HARTSON LLP
1200 17th Street, Suite 1500
Denver, Colorado 80202
(720) 406-5385 Tel
(720) 406-5301 Fax